RETIREMENT SOLUTIONS

Solutions for Retirement Plan Advisors

Supporting advisors every step of the retirement plan lifecycle

BROADRIDGE ENABLES ADVISORS TO GROW THROUGH OUR TRAINING, TECHNOLOGY AND PRACTICE MANAGEMENT SOLUTIONS FOR RETIREMENT PLAN ADVISORS.

We provide the specialized tools for Advisors to grow their business and better manage their client relationships in the Retirement Plan marketplace.

BENEFITS OF WORKING WITH BROADRIDGE:

- **Independence –** we don't compete with you for retirement plan business like other firms that may also act as recordkeeper, employ an Advisor salesforce, or offer investment management services.
- **Fiduciary Education and Tools –** fulfill your responsibility to the fiduciary standard of care with Broadridge Fi360 Solutions education and designation programs to implement a prudent investment process through industry-leading software tools designed to help you strengthen Plan Sponsor relationships and win more business.
- **Grow Your Business –** turnkey marketing solutions from websites to social media marketing seminars and newsletters to engage your clients and grow your business.
- **Open Architecture –** you can select the retirement plan investment line-up from over 30,000 mutual funds, collective investment trusts and ETFs with no required funds.
- **Qualified and Non-Qualified Plans –** we can help you manage traditional qualified plans such as 401(k), 403(b), Profit Sharing, Defined Benefit and Cash Balance plans, as well as Health & Welfare and Non-Qualified plans.

Broadridge®

TRUST AND CUSTODY

Matrix Trust Company, part of the Broadridge family of companies, provides independent trust and custody services for the retirement plans you manage. Matrix Trust Company can also serve as a directed trustee or custodian for qualified, or non-qualified retirement plans with assets held at an outside custodian/brokerage firm. We aggregate, reconcile and process trust and custodial transactional data in a highly automated environment.

Paying Agent Services: Matrix provides recurring benefit payments, one-time lump sum payments and associated tax reporting, withholding and remitting for defined contribution, traditional pension, cash balance, and non-qualified plans.

Audit Controls: Matrix Trust Company retains an independent, certified public accounting firm to conduct SSAE 18 SOC-1 internal audits of its procedures and controls.

ADVISOR PLAN AND DATA SERVICES

We help streamline your management of retirement plan assets across your practice in multiple ways.

- Retirement thought leadership, webinars and Advisor Help Desk available year-round
- Automated payment options for both commissionable and fee-based business
- Ability to deliver monthly data files to broker-dealers and data aggregators
- Online access to account information including investments, balances, performance and revenue
- Connectivity with hundreds of recordkeepers and outside custodians to support assets held away

MODEL PORTFOLIOS AND UNITIZATION

We deliver comprehensive modeling and daily unitization solutions allowing you to seamlessly deliver model portfolios, separately managed unitized accounts, and Collective Investment Trusts to your retirement plan clients. We offer tools that allow investment managers the custom investment strategies through flexibility and competitive pricing.

- Unitization of Models by Plan through ModelTool(k)it
- Model Performance Fact Sheets with Disclosures
- Customized Unitized Managed Accounts
- Collective Investment Trust Discretionary Trustee Services

MARKETING SOLUTIONS

Broadridge is a premier provider of Advisor marketing and practice management solutions.

- Advisor Websites
- Search Engine Marketing
- Digital Advertising
- Email & Social Marketing
- Seminars / Webinars
- Newsletters
- Print Marketing
- Event Marketing
- Intelligent Prospecting
- Digital Lead Optimizer
- Practice Management Toolkit
- eCards

FIDUCIARY EDUCATION AND TOOLS

Broadridge Fi360 Solutions, has 20+ years of experience helping Advisors use prudent fiduciary practices to profitably gather, grow, and protect investor assets. The Accredited Investment Fiduciary® (AIF®) Designation provides education on adherence to the fiduciary standard of care and practical insights to conduct a successful and sustainable business while serving clients' best interests. Held by more than 11,500 Advisors, the AIF® Designation is part of a select list of designations to receive third-party accreditation.

Our software tools help you to implement a fiduciary level of care across your entire book of business. The Fi360 Toolkit, our flagship product, is a web-based software solution that provides the analytical, management and reporting features investment professionals need to administer and document a prudent investment process across your book of business. We have solutions to help address your needs:

- Fiduciary Education & Practice Management Training
- Investment Policy Statement Development
- Due Diligence & Automated Watchlist Management
- Advisory Fee Benchmarking
- RFP Manager and Provider Database
- Stable Value Data and Analytics

IRA SOLUTIONS

Our IRA outsourced platform — everyIRA — is a powerful solution that provides access to low-cost institutional funds and trading to help retain assets with the Recordkeeper and Advisor, rather than being transferred to a traditional retail IRA account. Matrix Trust Company acts as the custodian of the private-labeled Individual Retirement Account and the everyIRA offering includes:

- Distribution Processing
- Institutional Fund Universe
- Paperless Statements
- Tax Reporting
- Paperless Rollover and Account Documents
- Turn-Key Participant Account Interface
- Web Based Access & Tools – PC, Tablet and Phone
- Call Center Support

NON-QUALIFIED PLANS FOR KEY EXECUTIVES

Matrix Trust Company can help you establish and manage non-qualified plans and Rabbi Trusts. We offer mutual funds, ETF, company stock, COLI and BOLI servicing and reporting, plus paying agent services including participant tax reporting and a 1041 informational letter. Matrix Trust Company partners with financial professionals from plan inception through change in control transactions.

FOR MORE INFORMATION

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Ready for Next

Broadridge®